



Please type a plus sign (+) inside this box → ☒

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/919,784
Filing Date	July 31, 2001
First Named Inventor	Grainger, Jeffry J.
Group Art Unit	2161
Examiner Name	To Be Assigned
Attorney Docket Number	020313-000510US

Total Number of Pages in This Submission

1

### ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/  
Incomplete Application

☐ Response to Missing  
Parts under 37 CFR  
1.52 or 1.53

☐ Assignment Papers  
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition Routing Slip (PTO/SB/69)  
and Accompanying Petition

☐ Petition to Convert to a  
Provisional Application

☐ Power of Attorney, Revocation  
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s)

☐ After Allowance Communication to  
Group

☐ Appeal Communication to Board of  
Appeals and Interferences

☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s)  
(please identify below):

Request to Correct Filing Receipt;  
Redlined Corrected Copy of Filing Receipt;  
Initial Application Data Sheet;  
Supplemental Application Data Sheet;  
Return Postcard

Remarks

The Commissioner is authorized to charge any additional fees to  
Deposit Account 20-1430.

**COPY OF PAPERS  
ORIGINALLY FILED**

**RECEIVED**

SEP 04 2002

**GROUP 3600**

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
and  
Individual name

Townsend and Townsend and Crew LLP

Chad R. Walsh

Reg. No. 43,235

Signature

*Chad Walsh*

Date

February 6, 2002

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

August 8, 2002

*August 8, 2002*

Typed or printed name

Kathy Johnston

Signature

*Kathy Johnston*

Date

August 8, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PA 3200089 v1

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents Washington, D.C. 20231

PATENT  
Attorney Docket No.: 020313-000510US

COPY OF PAPERS  
ORIGINALLY FILED

on August 8, 2002  
By: [Signature]

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

JEFFRY J. GRAINGER et al.

Application No.: 09/919,784

Filed: July 31, 2001

For: COMPUTER IMPLEMENTED  
METHOD OF GENERATING  
INFORMATION DISCLOSURE  
STATEMENTS

Examiner: To Be Assigned

Art Unit: 2161

REQUEST FOR CORRECTED FILING  
RECEIPT

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

**RECEIVED**  
SEP 04 2002  
**GROUP 3600**

Sir:

Attached is a redlined corrected copy of the official Filing Receipt received from the Patent and Trademark Office in the above-noted application for which issuance of a corrected filing receipt is respectfully requested.

There are errors in the Filing Receipt in the "Domestic Priority" and "Filing Fee" sections. As noted on the enclosed copies of the initial and Supplemental Application Data Sheets as filed, this application does not claim priority to 60/253,360, filed 11/27/2000. The correct "Domestic Priority" should read as follows:

THIS APPLICATION IS A CIP OF 09/733,616 12/07/2000

In addition, the "Filing Fee" should read as follows:

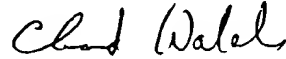
444

The breakdown of "Filing Fee" calculation is shown below:

Application Fee	370
Additional Claim Fee	9
Surcharge Fee	<u>65</u>
Total	444

Applicants respectfully request corrections to the Filing Receipt. The correction is not due to any error by applicant and no fee is due.

Respectfully submitted,



Chad R. Walsh  
Reg. No. 43,235

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8th Floor  
San Francisco, California 94111-3834  
Tel: (650) 326-2400 /Fax: (650) 326-2422  
CRW/km / PA 3200109 v1



CRW  
02031300510US

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/919,784	07/31/2001	2161	<del>420</del> 444	020313- 000510US	23	21	2

20350  
TOWNSEND AND TOWNSEND AND CREW  
TWO EMBARCADERO CENTER  
EIGHTH FLOOR  
SAN FRANCISCO, CA 94111-3834

RECEIVED  
SEP 04 2002  
GROUP 3600

CONFIRMATION NO. 4833  
UPDATED FILING RECEIPT  
  
\*OC00000007128201\*

Date Mailed: 11/28/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Jeffrey J. Grainger, Portola Valley, CA;  
James R. Shay, Seattle, WA;  
Cecily Anne Snyder, San Francisco, CA;

Assignment For Published Patent Application

First to File, Inc., Menlo Park, CA;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/733,616 12/07/2000  
~~WHICH CLAIMS BENEFIT OF 00/253,360 11/27/2000~~

Foreign Applications

If Required, Foreign Filing License Granted 08/13/2001

Projected Publication Date: 05/30/2002

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

**Title**

Computer implemented method of generating information disclosure statements

**Preliminary Class**

705

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



## UNITED STATES PATENT AND TRADEMARK OFFICE

FILE COPY

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov



Bib Data Sheet

CONFIRMATION NO. 4833

<b>SERIAL NUMBER</b> 09/919,784	<b>FILING DATE</b> 07/31/2001 <b>RULE</b>	<b>CLASS</b> 705	<b>GROUP ART UNIT</b> 3629	<b>ATTORNEY DOCKET NO.</b> 020313-000510US
------------------------------------	---	---------------------	-------------------------------	---

## APPLICANTS

Jeffry J. Grainger, Portola Valley, CA;  
James R. Shay, Seattle, WA;  
Cecily Anne Snyder, San Francisco, CA;

## \*\* CONTINUING DATA \*\*\*\*\*

THIS APPLICATION IS A CIP OF 09/733,616 12/07/2000

## \*\* FOREIGN APPLICATIONS \*\*\*\*\*

IF REQUIRED, FOREIGN FILING LICENSE GRANTED \*\* SMALL ENTITY \*\*  
\*\* 08/13/2001

**RECEIVED**  
SEP 04 2002  
**GROUP 3600**

Foreign Priority claimed 35 USC 119 (a-d) conditions met	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance	<b>STATE OR COUNTRY</b> CA	<b>SHEETS DRAWING</b> 23	<b>TOTAL CLAIMS</b> 21	<b>INDEPENDENT CLAIMS</b> 2
Verified and Acknowledged	Examiner's Signature _____ Initials _____				

## ADDRESS

20350

## TITLE

Computer implemented method of generating information disclosure statements

<b>FILING FEE RECEIVED</b> 429	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
-----------------------------------	---	---